

Core Business Process VII – Customer Service and Communication

Risk Mitigation and Contingency Options Matrix

Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: 1 Month

Decomposition of Sub-Process: U.S. Mail								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Priority Rating		Risk Mitigation Options	High-Level Contingency Options
US Postal Service	ED is unable to mail correspondence.	Normal correspondence is disrupted.	1/3/2000	Low	Low	Low	To mitigate the risk that correspondence cannot be mailed, ED would inform students of alternate methods to contact SFA prior to 1/3/2000.	In the case that correspondence cannot be mailed, ED would inform Student Financial Aid Professionals, if the circumstance warrant.

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Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: 1 Month

Decomposition of Sub-Process: Commercial Shipper				Core Business Process: Customer Service and Communication				
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Business Priority Impact Rating Risk Rating			Risk Mitigation Options	High-Level Contingency Options
Commercial Shipper	Transportation and dispatch outages disrupt shipping.	Shipping of application and information materials is disrupted.	1/3/2000	Low	Low	Low	To mitigate the risk that materials cannot be shipped, ED would assure that requests for shipments are made early and fulfilled before 1/3/2000.	In the case that materials cannot be shipped, ED would find alternate shippers.

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Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service:

Phone — Students 10 day startup delay
 Phone — Financial Aid Administrators 2-3 week startup delay

Decomposition of Sub-Process: Phone				Core Business Process: Customer Service and Communication				
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
Telecom	ED / OSFAP is unable to disseminate information to the financial aid community via the phone.	Students and others are not able to contact the public information center for information on how to complete forms or to check on status of processing.	1/3/2000	Low	Low	Low	<p>To mitigate the risk of telephone service outages, ED would assure that other avenues for public communication are adequately sized to serve as alternatives to phones.</p> <p>In addition, ED would maintain several hard copies of mailing labels produced prior to 1/3/2000 for all FAA's to use in the case of total or sporadic electronic outages.</p>	<p>In the case of telephone service outages, ED would determine the dimensions of the outages and switch to alternate communication methods. ED would inform financial aid professionals of the outage areas and what they can do to inform their students about the outages.</p> <p>ED would conduct a mailing to financial aid professionals using previously produced mailing labels, if other avenues are not available.</p>

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Risk Mitigation and Contingency Options Matrix

Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service:

Web Sites

1 week startup delay

Decomposition of Sub-Process: Web Sites								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
Network	ED / OSFAP is unable to disseminate information via the World Wide Web (WWW).	The public and financial aid professionals would not be able to access SFA Web sites for guidance and information on processing.	1/3/2000	High	Low	Med.	<p>To mitigate the risk that information cannot be accessed via the Web, ED would assure there are commercial alternatives to the SFA servers if the SFA servers fail.</p> <p>ED would maintain a secure copy of the FAA email universe to inform FAAs of the outage.</p> <p>ED would maintain several hard copies of mailing labels for all FAAs to use in the case of total or sporadic electronic outages.</p>	<p>In the case that information cannot be accessed via the Web, ED would move to an alternative server.</p> <p>ED would use email and list servers to give information to FAA’s.</p> <p>ED would use fax on demand for more complex answers to issues.</p> <p>ED would use fax broadcast to inform FAAs of impending or rapidly changing processes on an overnight basis.</p> <p>ED would conduct a mailing to financial aid professions using previously produced mailing labels if other avenues are not available.</p>

Core Business ProcessVII – Customer Service and Communication
Risk Mitigation and Contingency Options Matrix
Business Sub-Process: Federal Student Aid Information Center - Information Dissemination
Minimum Acceptable Level of Service: 1 week

Decomposition of Sub-Process: Email								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Priority Rating	Risk Rating	Risk Mitigation Options	High-Level Contingency Options
Network	ED / OSFAP is unable to disseminate information through email.	A directed method of contacting individuals would not be available.	1/3/2000	Low	Low	Low	<p>To mitigate the risk that email access is unavailable, ED would assure there are commercial alternatives to the SFA servers if the SFA mail servers fail.</p> <p>ED would maintain a secure copy of the FAA email universe if data is compromised.</p> <p>ED would maintain several hard copies of mailing labels for all FAAs to use in the case of total or sporadic electronic outages.</p>	<p>In the case that email access is unavailable, ED would use fax on demand to answer more complex issues.</p> <p>ED would use fax broadcast to inform FAAs of impending or rapidly changing processes on an overnight basis.</p> <p>ED would add to the content of the SFA Web sites to answer questions usually reserved for email.</p> <p>ED would conduct a mailing to financial aid professionals using previously produced mailing labels if other avenues are not available.</p>

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Risk Mitigation and Contingency Options Matrix

Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: 1 week

Decomposition of Sub-Process: List Server								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
Network	ED / OSFAP is unable to disseminate information using the list server.	The ability to direct information to discrete groups would not be available.	1/3/2000	Low	Low	Low	<p>To mitigate the risk that information cannot be disseminated via the list server, ED would assure that there are commercial alternatives to the SFA servers if the SFA mail servers fail.</p> <p>ED would maintain a secure copy of the FAA email universe if data is compromised. ED would produce a mailing list separate from the list server.</p> <p>ED would maintain several hard copies of mailing labels for all FAAs to use in the case of total or sporadic electronic outages.</p>	<p>In the case that information cannot be disseminated via the list server, ED would use fax on demand to answer more complex issues.</p> <p>ED would use fax broadcast to inform FAAs of impending or rapidly changing processes on an overnight basis.</p> <p>ED would add to the content of the SFA Web sites to answer questions usually reserved for list serve mass mailings.</p> <p>ED would conduct a mailing to financial aid professionals using previously produced mailing labels if other avenues are not available.</p>

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Risk Mitigation and Contingency Options Matrix

Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: 1 week

Decomposition of Sub-Process: Fax on Demand				Core Business Process: Customer Service and Communication				
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
Phone	ED / OSFAP is unable to disseminate information through fax on demand.	The ability to request and disseminate information via fax would be unavailable.	1/3/2000	Low	Low	Low	<p>To mitigate the risk that information cannot be disseminated via Fax on Demand, ED would maintain a secure copy of the FAA email universe if data is compromised.</p> <p>ED would produce a mailing list separate from the list server to send email versions of the fax on demand information.</p> <p>ED would maintain several hard copies of mailing labels for all FAAs to use in the case of total or sporadic electronic outages.</p>	<p>In the case that information cannot be disseminated via Fax on Demand, ED would use SFA Web sites to provide fax on demand content.</p> <p>ED would use fax broadcast to inform FAAs of impending or rapidly changing processes on an overnight basis.</p> <p>ED would conduct a mailing to financial aid professionals using previously produced mailing labels if other avenues are not available.</p>

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Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: 1 week

Decomposition of Sub-Process: Fax Broadcast								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
Phone	ED / OSFAP is unable to disseminate information through fax broadcast.	Financial aid professionals could not be contacted in mass.	1/3/2000	Low	Low	Low	<p>To mitigate the risk that information cannot be broadcast via fax, ED would maintain a secure copy of the FAA email universe if data is compromised.</p> <p>ED would produce a mailing list separate from the list server to send email versions of the fax information.</p> <p>ED would maintain several hard copies of mailing labels for all FAAs to use in the case of total or sporadic electronic outages.</p> <p>ED would add additional lines prior to 1/3/2000 in case fax broadcast needs to replace other communication avenues.</p>	<p>In the case that information cannot be broadcast via fax, ED would use SFA Web sites to give the fax broadcast content.</p> <p>ED would conduct a mailing to financial aid professionals using previously produced mailing labels if other avenues are not available.</p>

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Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: N/A

Decomposition of Sub-Process: PEPS								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Priority Rating	Risk Rating	Risk Mitigation Options	High-Level Contingency Options
IPOS	ED/OSFAP is unable to receive information from PEPS.	Participant institution eligibility would not be available.	1/3/2000	Low	Low	Low	To mitigate the risk that information from PEPS cannot be transmitted, ED would make a hard copy of the most recent PEPS information prior to 1/3/2000.	In the case that information cannot be transmitted from PEPS, ED would use a hard copy of the data.

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Business Sub-Process: Federal Student Aid Information Center - Information Dissemination

Minimum Acceptable Level of Service: N/A

Decomposition of Sub-Process: NSLDS								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
NSLDS	ED / OSFAP is unable to receive information from NSLDS.	General student information would not be available.	1/3/2000	High	Low	Med.	To mitigate the risk that data cannot be transmitted from NSLDS, ED would maintain a readable backup copy of NSLDS data.	None.

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Minimum Acceptable Level of Service: N/A

Decomposition of Sub-Process: CPS								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Priority Rating	Risk Rating	Risk Mitigation Options	High-Level Contingency Options
CPS	ED / OSFAP is unable to receive information from CPS.	EFC and Title IV information would not be available.	1/3/2000	High	Low	Med.	To mitigate the risk that information cannot be transmitted from CPS, ED would maintain a readable backup copy of the CPS data on an ongoing basis.	In the case that information cannot be transmitted from CPS, ED would point the IVR to the back-up copy of the CPS.

Core Business Process VII – Customer Service and Communication**Risk Mitigation and Contingency Options Matrix****Business Sub-Process: Federal Student Aid Information Center - Information Dissemination****Minimum Acceptable Level of Service: N/A**

Decomposition of Sub-Process: DCS								
Core Business Process: Customer Service and Communication								
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Priority Rating Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
DCS	ED / OSFAP is unable to receive information from DCS.	Payment information would not be available.	1/3/2000	Low	Low	Low	None.	None.

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Business Sub-Process: TIVWAN Participation Management

Minimum Acceptable Level of Service:

Billing	1 month
TIVWAN Customer service	10 days
Participation Management	3 days
Reimbursement checks to ED	1 month
Invoices to schools	1 month +

Decomposition of Sub-Process:				TIVWAN Enrollment Service – TIVWAN Enrollment Service allows schools to participate in information exchanges between various ED program offices.				
Core Business Process:				Customer Service and Communication				
Scenario Section				Business Priority Section			Possible Options	
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Priority Rating Rating	Risk Rating		Risk Mitigation Options	High-Level Contingency Options
TIVWAN Participation Management Core Processing	TIVWAN is unable to perform participation management functions.	Schools may not be able to: <ul style="list-style-type: none"> Receive Institutional Student Information Reports (ISIR), Make electronic corrections, Transmit Student Status Confirmation Reports (SSCR), or Send Title IV program student origination and disbursement records. 	1/3/2000	High	Low	Med.	To mitigate the risk that TIVWAN is unable to perform participation management functions, ED would encourage TIVWAN users to test their systems.	In the case that TIVWAN is unable to perform participation management functions, ED would use a compiled list of participants. ED would manually add new participants. ED would assure that adequate capacity exists.